

**DECLARATION FOR UTILITY PATENT APPLICATION**

AS BELOW-NAMED INVENTORS, WE HEREBY DECLARE THAT:

Our residence, post office address, and citizenship are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: MOLECULAR COMPOUNDS HAVING COMPLEMENTARY SURFACES TO TARGETS AND METHODS FOR THE SYNTHESIS AND USE THEREOF, the specification of which is attached hereto unless the following box is checked:

☒ was filed on October 14, 1998 as United States Application Serial No. 09/172,921.

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/061,805	10/14/97
60/103,616	10/9/98

We hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.



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☐ was filed on \_\_\_\_\_ as United States Application Serial No. \_\_\_\_\_ or PCT International Application No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/061,805	10/14/97
Serial No. Unknown Atty. Docket No. 35909-30002.20	10/9/98

We hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, we acknowledge the duty to disclose information which is material to

[illegible]

Date	Name:	Michael G. Perrot
	Residence:	1516 Waller Street, San Francisco, CA 94117
	Citizenship:	United States of America
	Post Office Address :	same as above

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**Docket No.  
**359092000200**

Serial No.

09/172,921

Filing Date

Oct. 14, 1998

Patent No.

n/a

Issue Date

n/a

Applicant/  
Patentee: **David S. Soane, et al.**

Invention:

**"Molecular Compounds Having Complementary Surfaces to Targets"**

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: **Alnis, LLC**ADDRESS OF CONCERN: **5764 Shellmound Street, Emeryville, CA 94608**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.  
☐ each such person, concern or organization is listed below.

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Stephen E. Barry

TITLE OF PERSON SIGNING

OTHER THAN OWNER:

President

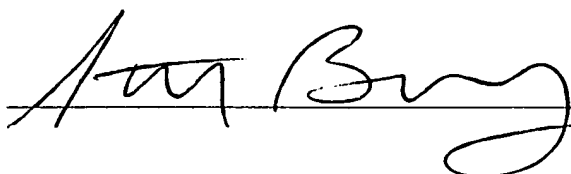
ADDRESS OF PERSON SIGNING:

Alnis, LLC

5764 Shellmound Street

Emeryville, CA 94608

SIGNATURE:

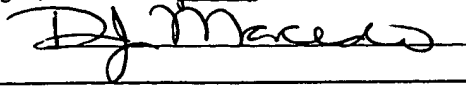


DATE:

2-16-00

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231, on June 9, 1999.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

David S. SOANE et al.

Serial No.: 09/172,921

Filing Date: October 14, 1998

For: MOLECULAR COMPOUNDS HAVING  
COMPLEMENTARY SURFACES TO  
TARGETS AND METHODS FOR THE  
SYNTHESIS AND USE THEREOF

Examiner: J. Ricigliano

Group Art Unit: 1618

**DECLARATION IN RESPONSE TO COMMUNICATION DATED MAY 6, 1999**

Box: Licensing and Reviews  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This is in response to the Communication dated May 6, 1999 for which a response is due on June 19, 1999.

We, David S. Soane, Stephen E. Barry, Andrew Goodwin, David A. Offord and Michael A. Perrot citizens of the United States of America residing at 109 King Avenue, Piedmont, CA 94610, 300 Monte Vista Avenue, #304, Oakland, CA 94611, 446 42nd Street, Oakland, CA 9460, 4267 Mabel Avenue, Castro Valley, CA 94546, and 1516 Waller Street, San Francisco, CA 94117, respectively, declare:

That we made and conceived the invention described and claimed in patent application: Serial Number 09/172,921 filed in the United States of America on October 14, 1998 titled MOLECULAR COMPOUNDS HAVING COMPLEMENTARY SURFACES TO TARGETS AND METHODS FOR THE SYNTHESIS AND USE THEREOF.

(Check and complete either I or II below)

☒ I. (For Inventors Employed by an Organization) That we made and conceived this invention while employed by ALNIS, LLC. That the invention is related to the work we are employed to perform and was made within the scope of our employment duties; that the invention was made during working hours and with the use of facilities, equipment, materials, funds, information and services of ALNIS, LLC.

Other relevant facts are: this invention was made with government support under Grant Number N65236-98-1-5404 awarded by the Space and Naval Warfare (SPAWAR) Systems Command Systems Center Charleston. This Grant is subject to DARPA (Defense Advanced Research Projects Agency) General Terms and Conditions.

—OR—

☐ II. (For self-employed Inventors) That I (we) made and conceived this invention on my (our) own time using only my (our) own facilities, equipment, materials, funds, information and services. Other relevant facts are \_\_\_\_\_

(Check III and/or IV below as appropriate)

That to the best of our knowledge and belief:

☐ III. The invention was not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy Research and Development Administration or the Department of Energy.

—AND/OR—

☒ IV. The invention was not made (conceived or first actually reduced to practice) under nor is there any relationship of the invention to the performance of any work under any contract of the National Aeronautics and Space Administration.

The undersigned inventors declare further that all statements made herein of their own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.



Inventor's Name and Signature: David S. Soane  
David S. Soane

Post Office Address: 109 King Avenue, Piedmont, CA 94610

Date: 6-4-99

Inventor's Name and Signature: Stephen E. Barry  
Stephen E. Barry

Post Office Address: 300 Monte Vista Avenue, #304, Oakland, CA 94611

Date: 6-4-99

Inventor's Name and Signature: Andrew Goodwin  
Andrew Goodwin

Post Office Address: 446 42nd Street, Oakland, CA 94609

Date: 6/4/99

Inventor's Name and Signature: David A. Offord  
David A. Offord

Post Office Address: 4267 Mabel Avenue, Castro Valley, CA 94546

Date: 6/4/99

Inventor's Name and Signature: Michael G. Perrott  
Michael G. Perrott

Post Office Address: 1516 Waller Street, San Francisco, CA 94117

Date: 6/3/99